#### DEPARTMENT OF SOCIAL SERVICES 744 P Street, Sacramento, CA 95814

August 23, 1988

ALL-COUNTY INFORMATION NOTICE NO. 1-81-88

TO: ALL COUNTY WELFARE DIRECTORS

SUBJECT: JOINT STATE DEPARTMENT OF SOCIAL SERVICES AND STATE

> DEPARTMENT OF EDUCATION ADVISORY ON FUNDING OF EDUCATIONAL SERVICES IN THE GREATER AVENUES FOR

INDEPENDENCE (GAIN) PROGRAM

Attached is a copy of a State Department of Education (SDE) Program Advisory describing the funding methodology for Adult Basic Education (ABE) services in local public school districts provided under the GAIN Program. The Advisory is not applicable to ABE services provided by the Community Colleges.

The Advisory updates and modifies the SDE process for requesting additional regular school funding (ADA) for GAIN services originally issued in a 1987 SDE Advisory. In addition, the Advisory contains information related to the use of Job Training Partnership Act (JTPA) 8% funds including information on what they can be used for, the process for coordinating and obtaining SDE approval for the use of these funds, and their priority of utilization relative to ADA funds and State Department of Social Services (SDSS) funds. Clarification on policy related to "excess cost" items fundable by SDSS is also included in the Advisory.

The Advisory is a joint effort by SDE and SDSS; it reflects funding utilization policy of both State Departments. Questions or comments related to the various aspects of the Advisory should be addressed to those individuals listed on the contact page included in the Advisory.

DENNIS J. BOYLE

Deputy Director

Attachment

cc: CWDA



# CALIFORNIA STATE DEPARTMENT OF EDUCATION

Bill Honig

721 Capitol Mall; P.O. Box 944272

Superintendent

Sacramento, CA 94244-2720

of Public Instruction

Date:

July 15, 1988

To:

Private Industry Council Chairpersons

Service Delivery Area, Coordinating Agency Administrators

County Welfare Directors

Select County and District Superintendents

Attention: Adult and ROC/P Directors Chief Financial Officers

From:

Shirley Thornton

Deputy Superintendent for Specialized Programs

Robert Agee

Deputy Superintendent for Field Services

Dennis Boyle

Deputy Director, State Department of Social Services

Subject:

Greater Avenues for Independence (GAIN) 1988-89 Funding Procedures for Adult Education Programs, Regional Occupational Centers and Programs (ROC/P), and Job Training Partnership Act (JTPA) 8% funded

programs

#### Purpose

The advisory discusses funding procedures for providing educational services to GAIN participants in Adult Education Programs and Regional Occupational Centers and Programs through the use of Average Daily Attendance (ADA), JTPA 8% funds, the Governor's State Matching funds and the State Department of Social Services (SDSS) GAIN funds for approved excess costs.

#### Overview

The Greater Avenues for Independence (GAIN) legislation (Chapter 1025, Statutes of 1985; AB 2580), passed by the California legislature and signed by Governor Deukonejian in 1985, is an employment and training program intended to provide Aid to Families with Dependent Children (AFDC) recipients with the skills necessary to make them employable and decrease their dependence on welfare. This mandatory program provides job services as well as training, education, and support services to AFDC recipients to assist them in attaining unsubsidized employment.

## Education and Training

Implicit in the goals of the GAIN Program is the recognition that preparation for the world of work and self-sufficiency may include education and training. GAIN implementation procedures require that:

For any participant who lacks basic literacy or mathematics skills, a high school diploma or its equivalent, or English language skills, the basic contract [written agreement between the participant and the County Welfare Department (CWD)] shall provide that the individual participate in either remediation of basic skills, instruction to obtain either a general educational development (GED) certificate or diploma, or instruction in English as a Second Language (ESL). (California State Department of Social Services Manual of Policies and Procedures, Section 42-772.5)

Educational services available to GAIN participants also include high school diploma programs, vocational training, Vocational English as a Second Language (VESL) and Regional Occupational Programs (ROP). These options depend on the status and needs of the participant and the instructional programs available locally. Prior to GAIN Program implementation, each county shall submit an implementation plan to the SDSS for approval. This plan includes an inventory of Educational services available in that county.

The county plan is shared with the State Department of Education (SDE) for review and comment. SDE reviews the plan to assure that the Adult Education Schools, ROC/Ps and SDAs serving the county have been contacted and involved in delivering the appropriate educational services to the GAIN participants. If any one of these key service providers have not been involved in the county GAIN plan, SDE may recommend the non-approval of the plan until the issue is appropriately addressed.

## Role of Education Agencies

The GAIN legislation gives a major role to public education agencies in providing educational services. County plans submitted to SDSS for GAIN implementation approval shall be developed "with the cooperation of community college districts and county offices of education" in addition to the local Private Industry Council (PIC). Presently, 50% of the Job Training Partnership Act (JTPA) "8%" funds are allocated to provide educational services for GAIN participants and give priority to public educational institutions to receive these funds.

Although SDSS administers the GAIN Program, SDE and other state education and training agencies all share responsibility for state-level program planning and support. Locally, county welfare departments administer the program, but county offices of education, Regional Occupational Centers and Programs, adult schools, community colleges, and JTPA Private Industry Councils will coordinate their programs to assist GAIN participants to secure and retain unsubsidized employment.

#### Enrollment Impact

As described earlier, GAIN procedures specify that participants who are deficient in basic education skills or lack a high school diploma be referred to "adult education service providers" to improve their basic education skills or obtain a high school diploma or its equivalent [Welfare and Institutions Code 11320.5(b)(c); Manual of Policies and Procedures [SDSS] Section 42-772.5)]. School districts and county offices of education which operate Adult Education, ROC/P Programs, or both, are encouraged to include GAIN participants in their programs so that these needs are met. Recent data compiled from the GAIN Appraisal Program Tests and SDSS suggest that there could be a significant increase in enrollment by GAIN participants in local adult basic education and ESL Programs that provide basic reading, mathematics, English language instruction, and high school basic skills (Comprehensive Adult Student Assessment System [CASAS], 1987; SDSS 1986). Given the potential impact, it is important that funding policies be described and quidelines and procedures provided which enable adult education service providers to effectively serve all GAIN participants referred to them.

# GAIN Educational Services Funding Policies and Procedures

This Advisory on funding procedures for Adult Education Programs addresses an important aspect of the state's overall effort to implement GAIN, specifically, the funding procedures for educational and training programs which are to be carried out by local education agencies (LEAs) and community based organizations (CBOs). The Advisory describes the basic funding framework for providing educational services through existing Adult Education and ROC/P Programs. In addition, it contains applications for additional GAIN ADA for school year 1988-89. Requests for excess cost reimbursement must be negotiated with the local county welfare department (CWD).

## Basic Funding Mechanism

The principal funding sources for educational services provided to GAIN Program participants are the state ADA apportionment system for Adult Education and ROC/Ps, 50% of the JTPA-8% funds, State Match for the 8% funds and the additional GAIN ADA. The ADA generated by GAIN participants shall be reported in the same manner that ADA is currently reported for other adults enrolled in these programs. GAIN participants shall first be served with the district's existing ADA allocations for Adult Education and ROC/P, then with JTPA-8% funds and accompanying State Matching funds before GAIN additional ADA funding may be approved. As with any requests for reimbursement of ADA above the district's established cap, GAIN additional ADA cannot be claimed before approval is first obtained from SDE. In addition, SDSS shall validate the need and concur with the request before the additional ADA is granted through the apportionment process (forms attached).

## County Budget Approval

CWDs prepare annual budgets that are submitted to SDSS for approval. Of particular importance are projected GAIN participant referrals to local

educational programs and how these projected referrals will impact the local educational service provider. Therefore, it is important that school districts and county offices of education cooperate with the CWD to ensure that their additional ADA requests for GAIN participants are consistent with the CWD's projected participant referrals.

## Existing Caps

In all cases, ADA within the existing cap and GAIN Additional ADA approved above the cap are reported using the same rules and regulations which govern the reporting of other Adult Education and ROC/P ADA.

Specifically, ADA reporting requirements by school districts are as follows:

- GAIN participants shall be included on Form J-19 (the report of Attendance for High School Students), P1, P2 and Annual, line B2, for students not currently enrolled in Regional Occupational Centers and Programs, and on line C-2 of the same form for students not concurrently enrolled in mandated classes for adults.
- GAIN ADA is also reported on line II-M for students not concurrently enrolled in ROC/Ps and on line II-N for students not concurrently enrolled in classes for adults. (Report of Attendance for High Schools)
- 3. GAIN ADA is reported by county superintendents offering ROC/P Programs. For GAIN students, the GAIN ADA generated is included with the ADA reported on Form J-27/28, line 1-K and is also reported on Form J-27/28 on line III and VI as part of the overall collection of ADA for the First, Second, and Annual Apportionments. (County Superintendents Report of Schools and Classes Maintained)

The revenue limit amounts per ADA which will be generated by GAIN ADA for 1988-89 are as follows:

- For mandated Adult Education Programs, the adult revenue limit reported on the 1988-89 Revenue Limit Form S, (Adult Education Block Entitlement for Fiscal Year 1988-89) EDP 316, Line "D" shall be used.
- For ROC/P Programs, the 1988-89 statewide average base revenue limit for growth (\$1,996.64) shall be used.

For school districts and county offices which are not currently claiming all ADA authorized under existing Adult and/or ROC/P caps, funding for GAIN ADA is claimed like any other ADA for these programs. Districts and counties that exceed their caps by providing educational services to GAIN participants shall receive advance approval from SDE in order to receive GAIN additional funding to support GAIN ADA beyond existing caps. Only public education agencies are eligible for additional GAIN ADA.

# Job Training Partnership Act State Education Coordination and Grants (SECG 8%) Funds and State Matching Funds

The primary purpose of the SECG 8% funds is to facilitate coordination and promote linkages among local educational agencies and service delivery areas (SDA) in the implementation of educational and training services to economically disadvantaged individuals. The JTPA federal mandate requires that the funds designated for this purpose must be matched equally from a non-JTPA funding source.

The passage of GAIN legislation in 1985 mandated that a portion of the JTPA 8% funds be used for GAIN as determined by the Superintendent of Public Instruction. The funds are allocated according to each county's AFDC caseload and are used to provide educational services to GAIN AFDC participants. Priority services are basic remedial education, GED/Diploma preparation, and ESL instruction. In addition, the GAIN legislation designated that state general funds be made available to match each JTPA dollar expended in counties that have implemented GAIN. The State 8% Matching funds are provided to SDAs through the JTPA cooperative agreement contract process.

Effective July 1, 1988, the State Department of Education will review closely each SDA's efforts to utilize all available JTPA 8% funds by obligating these funds in a timely manner in cooperative agreements. The cooperative agreement shall be consistent and supportive of the GAIN County Plan for remedial education services for GAIN participants. SDAs shall provide assurance that the CWD concurs with the 8% plan(s). SDE will withhold approval until there is agreement on the appropriate services to be funded. No GAIN additional ADA shall be approved for school districts in the SDA service area until and unless all of the JTPA-8% funds available to the SDA (1988-89 and all carryover funds) are committed in cooperative agreements. SDE will not process any LEA requests for state additional GAIN ADA if SDE concludes that there is an underutilization or inappropriate use of JTPA 8% funds without the particular SDA. This action is instituted to ensure that available resources within the county are utilized in the following priority order:

- 1. Existing Adult Education and ROC/P ADA
- 2. All JTPA-8% funds and State Matching funds
- 3. Additional GAIN ADA

Approvable JTPA-8% funds plus the Matching funds may be used for JTPA eligible participants in the following manner, including but not limited to:

- I. Teachers' salaries: providing direct classroom instruction for basic skills, GED/diploma preparation and English as a Second Language. It is desirable that a significant percentage of the JTPA 8% funds be used for direct instruction.
- II. Supportive educational services, e.g., tutors, books, supplies, diagnostic tests, computers, software and support services,
- III. Counseling, if supportive in reaching the classroom instructional goals of the GAIN Programs,

- IV. Space and equipment rental, if not otherwise available, and
- V. Other reasonable costs associated with providing the above activities, such as curriculum development.

Additional GAIN ADA for the ROC/P will be processed in a timely manner once requested on the proper 1988-89 application form. The delay in obligating JTPA-8% funds for educational services for GAIN clients does not prolong nor accelerate the review, approval and awarding of ROC/P GAIN ADA.

# Application Form for GAIN Additional ADA Above Adult Education and ROC/P Caps

The 1988-89 appropriations for additional GAIN ADA above existing caps are presently limited. To secure funding for additional GAIN ADA which is above the Adult Education and ROC/P caps, school districts and county offices of education must be able to certify that they will have enrollments which will fully utilize all their authorized ADA under the adult and ROC/P Program caps; next, JTPA-8% GAIN funds and State Matching funds, if available, shall be obligated in a cooperative agreement to the local educational providers to serve the educational needs of GAIN participants before GAIN additional ADA funding is approved. The local educational agency (LFA) must complete and submit the appropriate application(s) (attached) to the SDE; Youth, Adult and Alternative Educational Services Division (YAAES); Program Support Unit. As part of this process, CWDs shall certify to the need for additional ADA by signing the application. (Note: A copy of all applications submitted to SDE shall also be forwarded to the CWD for their information.)

Priority for Adult Education and ROC/P applications for additional ADA is as follows:

- Group A: AUGUST 22, 1988, is the deadline for GAIN additional ADA if the county is implementing GAIN prior to July 31, 1988.

  (Counties in this group which do not meet this deadline are then included in the Group B deadline)
- Group B: <u>SEPTEMBER 30, 1988</u>, is the deadline for GAIN additional ADA if the county is implementing GAIN on or after <u>August 1, 1988</u>.

GAIN participants cannot be concurrently enrolled in remedial education paid for by JTPA-8% GAIN funds and also be counted for ADA reimbursement. Once an application is received, it shall not be processed for funding until the deadline and the assurance that a significant portion of JTPA-8% funds in the SDA are obligated to priority-one activities in a timely manner through a cooperative agreement. Every effort will be made to notify applicants as quickly as possible of the status of their GAIN additional request.

This correspondence only applies to GAIN additional ADA for K-12 school districts. The ADA information does not apply to California Community Colleges (CCC) nor to community based organizations (CBOs).

## ADA One-Third Advance

Once the additional GAIN ADA is approved by SDE, the school district is eligible to receive a cash advance. The advance is approximately one-third of the approved additional ADA for the school year ending June 30, 1989. The remaining two-thirds is reimbursed through the regular ADA reporting system. If the school district does not generate the number of GAIN ADA units approved, then a correction will be made to the district's Adult Education or ROC/P apportionment.

# Potential Excess Costs of Providing Services

Funding to cover "excess costs" may be available to cover limited categories of costs through the county welfare department. Excess cost funds are available through interagency agreements between county welfare departments and local public school districts; they are available only for costs directly related to GAIN. In some counties there may be direct costs associated with providing services to GAIN participants which are not considered normal instructional costs of Adult Education, ROC/P, and allowable JTPA services or assistance and can not be recovered through the normal apportionment process or JTPA funding. Approved levels are subject to the availability of funds. Excess cost funding is subject to the review and approval of SDSS in advance. Approval of excess cost funds is based on a determination that: available and appropriate Adult Education and ROC/P ADA are used; available JTPA GAIN-8% funds and State Matching funds are sufficiently obligated in cooperative agreements, 3) educational services to be provided are necessary to the GAIN Program, and 4) the excess cost request is cost effective. Only public education agencies are eligible for excess costs. Funds for excess costs approved in fiscal year 1988-89 are limited to the funding level available to each county as approved by SDSS. No additional funds above the county allocations are available.

Excess cost funds through CWD are not available for all educational service costs unless all other available funds are exhausted. Approvable excess costs are subject to SDSS determination of reasonableness and limited to the following categories of expenditures:

- 1. Tracking and reporting attendance and progress of GAIN participants. This item does not include the cost of attendance reporting for ADA claiming purposes or general administrative activity associated with operating an educational program (e.g., hiring and supervising staff or purchasing office supplies).
- 2. Books and supplies for individual GAIN participants which the school provides at cost to the student. These items could also be funded under the GAIN ancillary expense category; however, it may be more cost effective to purchase these items as an excess cost for use by a series of students rather than for each individual as would occur under ancillary expense purchases in GAIN.
- 3. Tutorial and GAIN specific academic counseling services. Academic counseling is limited to assisting participants in overcoming objections to class participation and assisting them in adjusting to the school environment; it does not include long range academic planning that would

be covered by a GAIN employment plan or employment assessment. An example of the type of educational service which can be funded is counseling for GAIN participants who express a lack of self-confidence in learning skills or study habits or who have a fear of taking tests. The counseling is set up for GAIN participants to overcome these barriers to success. Tutorial services are available as additions to regular classroom activity; they may not replace or reduce regular classroom services.

4. Space and equipment is fundable as an excess cost subject to the limitations listed below. This category includes, but is not limited to, costs such as utilities, security, custodial services, desks and chairs related to the additional space.

## Limitations are as follows:

- a. There is no available space or equipment for GAIN students in existing day or evening classrooms.
- b. Additional space may be approved if existing space is inadequate and it can be shown to be cost effective to do so. For example, space expenses for a morning program may be offset by savings in day care costs because the children of participants are in school during that time period.
- c. Special circumstances, such as one time start-up costs, may be approvable within this category. Equipment purchases, such as computers, are more likely to be identified under a start-up category. However, item a. above must also be taken into consideration in approving start-up costs.
- d. Requests for funds to obtain computer equipment for classroom use by GAIN students must include a description of how the equipment will be used in the educational program and the expected benefits to GAIN participants.

The following costs are examples of expenditures which are recovered through the normal ADA reimbursement process and therefore may not be claimed as an "excess cost" item under GAIN.

- A. Teacher salaries (Adult Basic Education and ROC/P),
- B. Registration costs associated with adult education classes and ROP classes,
- C. The teacher's time spent advising the participants about class requirements and which class(es) they should take (enroll),
- D. The costs for available classroom space within the school district except as allowed in item #4 above, and
- E. Janitorial maintenance and utility costs associated with classroom space except as stated in item #4 detailing possible acceptable "excess costs."

Requests for reimbursement of "excess costs" shall be negotiated at the local level and approved in advance by the CWD with concurrence from SDSS. SDE has neither the authority nor the responsibility to approve these costs. It is essential that districts and county offices of education work closely with their CWD to ensure approval of such costs prior to incurring GAIN Program expenses. It is also important to remember that claims for "excess costs" are not to be used to make up for shortfalls in allowable ADA funds resulting from a lower-than-anticipated number of referrals to either Adult Education, ROC/Ps or JTPA-funded programs.

Educational service providers requesting excess costs funding shall present the excess costs in detail to the Director of the CWD. The CWD will submit a written excess cost request to SDSS for review and approval. SDSS requires that the proposal include a specific description of the activities, tasks, equipment and staff for which excess costs funds are needed. In addition, SDSS requires an explanation of how SECG 8% funds are being used. After SDSS approval, a copy of the request shall be forwarded to the Program Support Unit in SDE's Division of Youth, Adult and Alternative Educational Services Division.

## Accounting for Adult Education Funds

Education Code Section 52616 mandates that all Adult Education funds be accounted for in the Adult Education Fund of the district. This same section precludes districts from using any General Fund revenues for Adult Education Programs. If the GAIN Program incurs costs beyond the revenue limit, a sub-account within the Adult Education Fund should be established.

## Accounting Treatment

Expenditures in all cases shall be recorded in accordance with the coding structure set forth in the <u>California School Accounting Manual</u>.

## Cash Flow for Gain ADA

After the approximate one-third advance on the approved GAIN additional ADA is apportioned, the remaining GAIN ADA will be processed through the Adult Education and/or the ROC/P revenue limit mechanisms and will be apportioned (calculated) like all other Adult Education ROC/P funds at P-1, P-2, and the Annual Report. Cash flow from these apportionments will, by law, follow monthly schedules set forth in Education Code 14041.

In the past, the Local Assistance Bureau has used the adult ADA reported on the Form J 19, P-1 and P-2 reports as a basis for computing the Adult Block Entitlement. In some instances, this has resulted in a lower ADA than was actually generated at the time of the Annual Report. With the inception of the GAIN Program, SDE believes that continued use of this method might aggravate this problem for some school districts. Therefore, the Local Assistance Bureau will use the total 1988-89 estimated Annual ADA as reported

on Form(s) P-1 as the basis for the computation of 1988-89 First and Second Principal Apportionments. This will produce increased cash flow for most Adult Education Programs. However, school districts shall make these estimates of annual ADA with as much care as possible. If it is determined that school districts are overestimating ADA, SDE will have to return to the method used in prior years.

For most participating school districts, the cash flow described above should be sufficient to cover the costs of the program as they are incurred. In instances where the cash flow is insufficient, additional cash can be obtained on a temporary basis through interfund borrowing as authorized by Education Code Section 42603 or through other cash flow loan arrangements which may be available in some counties.

# Fiscal and Program Assistance

SDE continues to work closely with SDSS to ensure successful implementation of the GAIN Program. Toward that end, questions concerning any aspects of this advisory should be directed to the following persons.

Correspondence should be sent to the appropriate contact person at the offices listed below.

## AREA

Cooperative Agreements JTPA-8% GAIN Funds and Matching Funds

### GAIN Additional ADA

- Adult Education
- ROC/P

Excess Cost Applications

Fiscal Matters GAIN Apportionments State Department of Education

- Adult Education
- ROC/P

### CONTACT

Robert L. Evans, Administrator Employment Preparation Unit State Department of Education 721 Capitol Mall, 4th Flr. P.O. Box 944272 Sacramento, CA 94244-2720 (916) 445-4740

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GAIN Program Coordinator
Program Support Unit
State Department of Education
721 Capitol Mall, 4th Flr.
P.O. Box 944272
Sacramento, CA 94244-2720
(916) 324-1470

Local County Welfare Department c/o GAIN Coordinator/Manager

Bruce Wagstaff
GAIN Operations Manager
GAIN and Employment Services
Operations Bureau
State Department of
Social Services
744 P Street, Sixth Flr.
Sacramento, CA 95814
(916) 445-0287

Robert Oliphant, Manager Local Assistance Bureau State Department of Education P.O. Box 944272 Sacramento, CA 94244-2720 (916) 324-4546

#### GLOSSARY

AB

Assembly Bill

ABE

Adult Basic Education

ADA

Average Daily Attendance

**AFDC** 

Aid to Families with Dependent Children

Basic

Participant Contract A written agreement between the GAIN participant and the County Welfare Department detailing the rights and responsibilities of participation in the GAIN Program.

CASAS

Comprehensive Adult Student Assessment System

CBE

Competency-Based Education

CWD

County Welfare Department

ESL

English as a Second Language

GAIN

Greater Avenues for Independence (AB 2580, Chapter

1025)

GED

General Education Development

JTPA

Job Training Partnership Act

LEA

Local Education Agency

PIC

Private Industry Council

SDA

Service Delivery Area

SDE

California State Department of Education

SDSS

California State Department of Social Services

VESL

Vocational English-as-a-Second Language

#### REFERENCES

California State Department of Education (1986) GAIN handbook on educational services. Employment Preparation Division. Sacramento, CA.

California State Department of Education (1987). <u>Sunset report on adult</u> education, Section III. Sacramento CA.

California State Department of Social Services (1985). Manual of policies and procedures (MPP) (GAIN implementation regulations).

California State Department of Social Services (April 1987).

Social and economic characteristics of families receiving aid during April 1986 (Program Information Series Report 1987-04);

Sacramento, CA: Health and Welfare Agency.

Comprehensive Adult Student Assessment System (CASAS) (1987). GAIN appraisal program second report. San Diego, CA.

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California State Department of Education Youth, Adult & Alternative Educational Services Division

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County		Distri	
MANDATED CLAS 1988-89 APPLICATION FOR ADDITIONAL	SES FOR ADULTS ADA GENERATED	IN THE GAIN PROGRAM	
	EDP.	NO.	
1. 1988-89 Mandated Adult CAP ADA Line E-2, EDP 3181	31	8	
2. 1988-89 Estimated Mandated Adul Line F-3, EDP 326		6	
3. Line 2 minus Line 1 (If negative, enter -0-)		8	
4. 1988-89 Estimated GAIN ADA·····	33	0	
5. Additional ADA allowed for the of the GAIN clients	purposes 31	9	
I hereby certify that to the best of my kand accurate, based on the projected numeducational services for 1988-89.			
County Welfare Director	Da	te	
ALL APPLICANTS: Please provide the following information in application.	the event we have	e questions regarding your	
DISTRICT/LEA CONTACT PERSON	COUNTY WELFARE OFFICE GAIN COORDINATOR		
Name:	Name:		
Title:	Title:		
Address:	Address:		

Telephone:

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Telephone: